



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/042,935	01/09/2002	Yonglin Huang	5717-01601

CONFIRMATION NO. 4597

## FORMALITIES LETTER



"OC00000007461363"

B. Noel Kivlin  
Conley, Rose, & Tayon, P.C.  
P.O. Box 398  
Austin, TX 78767

Date Mailed: 02/12/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(f) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

FEB 19 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Yonglin Huang, Kevin Zhang,  
and Ping Xie

Serial No. 10/042,935

Filed: January 9, 2002

For: Fiber Optical Devices with  
High Power Handling Capability

Group Art Unit: 2873

Examiner: Unknown

Atty. Dkt. No.: 5717-01601

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date indicated below:

B. Noel Kivlin  
Name of Registered Agent

4-12-02  
Date

Signature

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed herewith is the following with regard to the above-identified application:

- (a) An Assignment of the invention executed by the inventor(s).
- (b) A combined Declaration and Power of Attorney executed by the inventor(s)
- (c) A Fee Authorization in the amount of \$910.00 to cover the filing fee for large entity (\$740.00), assignment (\$40.00), and surcharge for late filing of oath or declaration for large entity (\$130.00).
- (d) A copy of Notice to File Missing Parts of Application Filing Date Granted.

- (e) A return postcard to acknowledge receipt of these materials. Please stamp and return this postcard to the undersigned.

If any fees are inadvertently omitted or if any additional fees are required or have been overpaid, please appropriately charge or credit those fees to Conley, Rose & Tayon, P.C. Deposit Account Number 501505/5717-01601/BNK.

Respectfully submitted,



B. Noël Kivlin  
Reg. No. 33,929  
Attorney for Applicants

Conley, Rose & Tayon, P.C.  
P.O. Box 398  
Austin, Texas 78767-0398  
Ph: (512) 476-1400  
Date: 4-12-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Yonglin Huang, Kevin Zhang,  
and Ping Xie

Serial No. 10/042,935

Filed: January 9, 2002

For: Fiber Optical Devices with  
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§ Group Art Unit: 2873  
§  
§ Examiner: Unknown  
§  
§ Atty. Dkt. No.: 5717-01601

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date indicated below:

B. Noël Kivlin  
Registered Representative

4-12-02  
Date

Signature

FEE AUTHORIZATION

Commissioner for Patents  
Washington, D.C. 20231

The Commissioner is hereby authorized to charge the following fee to Conley, Rose & Tayon, P.C. Deposit Account Number 50-1505/5717-01601/BNK:

Basic Fee	\$740.00
Assignment Fee	\$40.00
Total	\$910.00

Attorney Docket No.: 5717-01601

The Commissioner is also authorized to charge any extension fee or other fees which may be necessary to the same account number. If the abovementioned account is found to have insufficient funds, the Commissioner is authorized to charge Conley, Rose & Tayon, P.C. Deposit Account Number 50-1623/5717-01601/BNK.

Respectfully submitted,

B. Noël Kivlin  
Reg. No. 33,929  
Attorney for Applicants

Conley, Rose & Tayon, P.C.  
P.O. Box 398  
Austin, Texas 78767-0398  
Ph: (512) 476-1400  
Date: 4-12-02

0410



Attorney's Docket No.: 13837-041001

## OFFICIAL COMMUNICATION

## FACSIMILE

FAX NO: 703-746-4060 (OIPE)

Number of pages including this page 14

Applicant : Huang et al.  
Serial No. : 10/042,935  
Filed : January 9, 2002

Art Unit : Unknown  
Examiner : Unknown

## FACSIMILE COMMUNICATION

Title : Fiber Optical Devices With High Power Handling Capability

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Attached to this facsimile communication cover sheet is a Response to the Request for Substitute Papers, including a copy of the Response to Notice to File Missing Parts that was filed on April 12, 2002, faxed this 28<sup>th</sup> day of February 2003 to the United States Patent and Trademark Office.

Respectfully submitted,

Paul A. Levy  
Reg. No. 45,748

Date: February 28, 2003

Fish & Richardson P.C.  
45 Rockefeller Plaza, Suite 2800  
New York, New York 10111  
Telephone: (212) 765-5070  
Fax: (212) 258-2291

30137580.doc

NOTE: This facsimile is intended for the addressee only and may contain privileged or confidential information. If you have received this facsimile in error, please immediately call us collect at (212) 765-5070 to arrange for its return. Thank you.

Received from &lt;+2122582291&gt; at 2/28/03 3:25:40 PM [Eastern Standard Time]

13837-041001



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
10/042,935	01/09/2002	Huang, Yonglin	5717-01601

Paul A. Levy  
Fish & Richardson P.C.  
45 Rockefeller Plaza, Suite 2800  
New York NY 10111

RECEIVED

FEB 25 2003

FISH & RICHARDSON, P.C.  
NEW YORK CITY OFFICE

Date Mailed: 02/20/2003

Title: Fiber optical devices with high power handling capability

## Request for Substitute Papers

The papers filed on 04/22/2002 (certificate of mailing dated 04/12/2002) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated **703-746-4060(OIPE)**.

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: PAUL A. LEVY Registration No.: 45,748Signature: [Signature] Date: 2/28/03



ASSISTANT COMMISSIONER OF PATENTS AND TRADEMARKS  
WASHINGTON, D.C. 20231

Inventor(s): Yonglin Huang, Kevin Zhang and Ping Xie  
Assignee: New Focus, Inc.  
Serial No.: 10/042,935  
Filed: January 9, 2002  
Title: FIBER OPTICAL DEVICES WITH HIGH POWER HANDLING CAPABILITY



Attorney Docket No.: 5717-01601

The date stamp of the mail room of the U.S. Patent and Trademark Office hereon will acknowledge receipt of the attached 1) Copy of Notice To File Missing Parts; 2) Response to Notice to File Missing Parts; 3) Assignment (with cover form); 4) Combined Declaration and Power of Attorney; 5) Fee Authorization; and 6) A Return Postcard.

BNK:ka

Via First Class Mail

Date: 4/18/02

NG

will  
use  
ned